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PTO/SB/29 (1/98)

Approved for use through 09/30/00, OBM 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**CONTINUED PROSECUTION APPLICATION (CPA)
REQUEST TRANSMITTAL**Submit an original, and a duplicate for fee processing.
(Only for Continuation or Divisional I application under 37 CFR 1.53(d))CHECK BOX, if applicable:
☐ DUPLICATE

| | | |
|---|------------------------------------|--|
| Address to: Commissioner for Patents Box CPA Washington, DC 20231 | Attorney Docket No. | 81788.0026 |
| | First Named Inventor | Seiichi MORI |
| | CERTIFICATE OF TRANSMISSION | I hereby certify that this correspondence is being facsimile transmitted to the U.S. Patent and Trademark Office on March 8, 2002. <i>Stanton R. Mason</i> Reg. No. 41,179 |
| | Total Pages | 2 |

This is a request for a ☒ continuation or ☐ divisional application under 37 CFR 1.53(d), (continued prosecution application (CPA)) of prior application number 09/456,873 filed on December 8, 1999, entitled NON-VOLATILE SEMICONDUCTOR MEMORY DEVICE.

NOTES

FILING QUALIFICATIONS: The prior application identified above must be nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an International application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice," Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).

C-I-P NOT PERMITTED: A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

EXPRESS ABANDONMENT OF PRIOR APPLICATION: The filing of the CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.59(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

ACCESS TO PRIOR APPLICATION: The filing of the CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning the prior application may be given similar access to, copies of, or similar information concerning the other application or applications in the file jacket.

35 U.S.C. 120 Statement: In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

- ☐ Enter the unentered amendment previously filed on ___ under 37 C.F.R. 1.116 in the prior nonprovisional application.
- ☒ A preliminary amendment is enclosed.
- This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).
 - ☐ DELETE the following inventor(s) named in the prior nonprovisional application:
 - ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
- ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
- Information Disclosure Statement (IDS) is enclosed:
 - ☐ PTO-1449
 - ☐ Copies of IDS Citations

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MAR 8 - 2002

TECHNOLOGY CENTER 2800

| CALCULATION OF FEES | | | | | | | |
|--|--|---------------------|-----|-------------------------|--|-----------|--------|
| ITEM | | TOTAL NO. OF CLAIMS | | NO. OF CLAIMS OVER BASE | LG/SM \$ ENTITY FEE | \$ AMOUNT | \$ FEE |
| A | TOTAL CLAIMS FEE | 18 | -20 | 0 | LG=\$18 SM=\$9 | \$(FEE) | \$ 0 |
| B | INDEPENDENT CLAIMS FEE** | 5 | -3 | 2 | LG=\$84 SM=\$40 | \$(FEE) | \$ 168 |
| C | SUBTOTAL - ADDITIONAL CLAIMS FEE (ADD FINAL COLUMN IN LINES A + B) | | | | | | \$ 168 |
| D | MULTIPLE-DEPENDENT CLAIMS FEE | | | | LARGE ENTITY FEE = \$270 SMALL ENTITY FEE = \$135 | | \$ 0 |
| E | BASIC FEE | | | | LARGE ENTITY FEE = \$740 SMALL ENTITY FEE = \$355 | | \$ 740 |
| F | TOTAL FILING FEE (ADD TOTALS FOR LINES C, D, AND E) | | | | | | \$ 908 |
| **LIST INDEPENDENT CLAIMS [LIST OF INDEPENDENT CLAIMS] | | | | | | | |

6. Small entity status: Applicant claims small entity status. See 37 CFR 1.27.
7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 50 - 1314:
- a. ☒ Fees required under 37 CFR 1.16.
- b. ☒ Fees required under 37 CFR 1.17.
- c. ☐ Fees required under 37 CFR 1.18.
8. ☐ A check in the amount of \$_____ is enclosed.
9. ☐ Payment by credit card. Form PTO-2038 is attached.
10. ☐ Applicant requests suspension of action under 37 CFR 1.103(b) for a period of ___ months (not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.
11. ☐ New Attorney Docket Number, if desired _____
(Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.)
12. a. ☒ Receipt For Facsimile Transmitted CPA (PTO/SB/29A)
- b. ☐ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)
13. ☐ Other: _____

NOTE: The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.

10. NEW CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



26021

PATENT TRADEMARK OFFICE

or ☐ New correspondence address below

| | | | | | |
|---------|-----------------------------------|-----------|----------------|----------|----------------|
| NAME | Sterion R. Mason | | | | |
| | HOGAN & HARTSON L.L.P. | | | | |
| ADDRESS | Biltmore Tower | | | | |
| | 500 South Grand Avenue Suite 1900 | | | | |
| CITY | Los Angeles | STATE | California | ZIP CODE | 90071 |
| COUNTRY | USA | TELEPHONE | (213) 337-6700 | FAX | (213) 337-6701 |

11. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

| | |
|-----------|----------------------------------|
| NAME | Sterion R. Mason Reg. No. 41,179 |
| SIGNATURE | |
| DATE | March 8, 2002 |

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1. ADDRESS

Applicant's Mailing Address for this receipt must be CLEARLY PRINTED or TYPED in the box below.

RECEIPT

FOR

FACSIMILE TRANSMITTED

CPA

(To accompany a request for
a Continued Prosecution Application (CPA)
under 37 CFR 1.53(d)
filed by facsimile transmission)

NOTE: By this receipt, the USPTO (a) acknowledges that a request for a CPA was filed by facsimile transmission on the date stamped below by the USPTO and (b) verifies only that the application number provided by the applicant on this receipt is the same as the application number provided on the accompanying request for a CPA. This receipt CANNOT be used to acknowledge receipt of any paper(s) other than the request for a CPA.

2. APPLICATION IDENTIFICATION:

(Provide at least enough information to identify the application)

a. For prior application

Application No.:

09/456,873

Filing Date:

December 8, 1999

Title:

Non-Volatile Semiconductor

Attorney Docket No.:

81788.0026

First Named Inventor:

Seiichi Mori

b. For instant CPA application

New Attorney Docket No.:

(if applicable)

The USPTO date stamp, which appears in the box to the right, is an acknowledgement by the USPTO of receipt of a request for a CPA filed by facsimile transmission on the date indicated below.

(THIS AREA FOR PTO DATE STAMP USE)

USPTO HANDLING INSTRUCTIONS:

Please stamp area to the right with the date the complete transmission of the request for a CPA was received in the USPTO and also include the USPTO organization name that provided the date stamp (stamp may include both items). Verify that the application number provided by applicant on this receipt is the same as the application number provided by applicant on the request for a CPA accompanying this receipt. If there is an inconsistency between the application number provided on this receipt and the request for a CPA, strike through the inconsistent application number provided on this receipt and insert the correct application number, if possible. Then place in a window envelope and mail.

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Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.